Certification Levels 1 and 2

In accordance with the DoD Year 2000 Management Plan, Level 1 certification is achieved when an independent test of the system has been successfully completed. Level 2 certification is achieved when the test process and test results indicating Y2K compliance have been independently audited. The purpose of these certification levels is to ensure that systems are Y2K compliant and still perform as originally intended. Independent test or audit is important because it increases confidence that the system will function properly in the year 2000.

Independence is achieved only when the entity that controls and conducts the testing or auditing is impartial and objective regarding the system being tested. At a minimum, the entity conducting the independent test or audit must be functionally separate from, and comprised of, different individuals than the entity that developed the system, executed the Y2K renovation and/or conducted the system test. This separation will help ensure that results are not affected or influenced by prior knowledge of the system's characteristics, by undue influence or other biases. In addition, the independent team may not be supervised or evaluated by the system development/remediation team. Similarly, the development/remediation team members must not control or influence the test parameters, paradigms, and criteria for determining success or failure of the test. Finally, it must be considered whether other factors exist that would impair the objectivity or impartiality of the testing or auditing team.

The following table provides representative examples of independent testing or auditing scenarios that provide the requisite independence required for a Level 1 or Level 2 certification.

If the system development, remediation and/or testing is performed by a:	Then the independent testing or auditing may be performed by a:
• Contractor	• Government Organization • Different Contractor • Independent Test Facility, e.g., JITC, etc. • Inspector General (IG) Office • Independent Audit activity
• Government Organization	• Contractor • Different Government Organization not involved in development/remediation/ testing • Independent Test Facility, e.g., JITC, etc. • Inspector General (IG) Office • Independent Audit activity
Notes: 1. Certification effort must be independent of system development or maintenance tasking. 2. Certification tasking must be to a technically competent and knowledgeable organization.	